

## SECTION 1a: Corporate Information (see Addendum 1)

Business Name:

Company Number:

Head Office Address:

Postcode:

Main Telephone No:

Website Address:

Date established:

Size of firm (Total Staff):

Number of Compliance Consultants:

Description of firm:

Does your firm have any regulatory permissions? Y N

What geographical area does your firm support?:

Number of Financial Service clients:

Primary source of compliance business:

Alongside your application, please provide a separate word document with a description of your firm to appear on your Member Directory Page, along with a list of your consultants email addresses who you wish to be registered with us.

## SECTION 1b: Main Contact Information

Name:

Position:

Email:

Postcode:

Contact Phone Number:

To be registered as consultant Y N

## SECTION 2: Compliance Consultants (Please attach CVs for your Senior Management Team and Consultancy Teams and/or a Skills & Qualifications matrix - see below - to support the compliance sectors and services you offer)

Name of your Team to be registered with APCC (Please attach separate sheet/document with names if needed):

## SECTION 3: Professional References

We ask for references from two regulated firms to which your firm has provided compliance services. In the case where you have only one from a regulated firm, we will accept a reference from an existing APCC Member. The referee should be independent of your firm, i.e. not a family member or a fellow director/partner.

### First referee

Contact name:

Position:

Firm name:

Phone number:

Email:

Address:

Postcode:

### Second referee

Contact name:

Position:

Firm name:

Phone number:

Email:

Address:

Postcode:

Can we collect this reference by phone? Y N

## SECTION 4: Compliance Sectors Supported

Type of firms served, please mark each one that applies:

Firm Type	Tick	Firm Type	Tick	Firm Type	Tick
Authorised Professional Persons .....		High Value Dealers .....		Retail Investment Managers .....	
Bank/Deposit Takers .....		IFA – Financial Institutions .....		Sale and Rent Back .....	
Building Societies .....		IFA – Wealth Mangers .....		Secondary Intermediaries .....	
Claims Management Companies .....		Institutional Investment Managers .....		Securities and Future Firms .....	
Collective Investment Funds .....		Insurance Brokers – General .....		SIPP Providers .....	
Company Service Providers .....		Insurance Brokers – Pure Protection .....		Stockbrokers .....	
Consumer Credit Providers .....		Insurers .....		System Providers .....	
Corporate Finance Firms .....		Investment Banks .....		Third Party Product Providers .....	
Credit Unions .....		Lead Generation Firms .....		Trade Associations, Professional Bodies, Regulators .....	
Custodians/Depositories .....		Lloyds .....		Trust Services Providers .....	
Crypto – Capital Markets .....		MGAs .....		Wrap Platforms .....	
Crypto – Payment Services .....		Money Service Businesses .....		Others not listed above;	
Discretionary Fund Managers .....		Mortgage Brokers .....			
Electric Money Issuers .....		Mortgage Lenders/Administrators .....			
Energy Market Participants .....		Multilateral Trading Facilities .....			
Financial Advisors .....		Payment Service Institutions .....			
Fintech/Regtech .....		Pension Advisers .....			
Friendly Societies .....		Pension Scheme Operators/Providers .....			
Funeral Planning .....		Private Client Investment Managers .....			
High-Cost Short-Term Credit .....		Restricted Financial Advisers .....			

## SECTION 5: Compliance Services

Type of service offered, please mark each one that applies:

Type of service offered	Tick	Type of service offered	Tick	Type of service offered	Tick
Advice Pre-Regulatory Risk Assessment .....		Enforcement Action – Financial Services .....		Regulatory Hosting/Incubation .....	
Authorisations – FCA .....		EU/International Compliance .....		Regulatory Relationship Management .....	
Authorisations – PRA .....		Expert Witness – AML & Payment Services .....		Regulatory Returns .....	
Client Assets .....		Expert Witness – Financial Services .....		Regulatory Updates .....	
Complaint Handling .....		File Reviews/Monitoring .....		Risk Management .....	
Complaint Handling Reviews .....		Governance .....		Skilled Persons Panel – On FCA Panel .....	
Compliance Advice .....		Health Checks .....		Skilled Persons Panel – Off FCA Panel .....	
Compliance Support .....		Information Security/Data Protection .....		Others not listed above:	
Compliance Training .....		Mis-selling Reviews .....			
Contracting/Interim .....		Money Laundering/Financial Crime .....			
Documentation .....		Payment Services Compliance .....			
Due Diligence .....		Pension Reviews .....			
Enforcement Action – AML & Payment Services .....		Regulatory Capital/Solvency .....			

**SECTION 6: Material Information & Disclosures** (Please note that we undertake Corporate and Individual reference checking, this may include credit agency or sanctions checking).

**To the best of your knowledge, Have you or any member of your management team (whether in the UK or elsewhere) ...**

- |  |   |   |
|--|---|---|
| 1. Been the subject of any current criminal proceedings? _____   | Y | N |
| 2. Been the subject of any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgement (CCJ) or other judgement debts? _____   | Y | N |
| 3. Been the subject of any bankruptcy proceedings? _____   | Y | N |
| 4. Ever entered into a deed of arrangement or an individual voluntary arrangement (or trust deed in Scotland) or other agreement in favour of your creditors, or are you doing so? _____   | Y | N |
| 5. Been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust, whether remunerated or not? _____                    | Y | N |
| 6. Been refused, restricted in, or had suspended, or revoked, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission as required? _____ | Y | N |
| 7. Been disqualified by a court as acting as a director of a company, or from acting in a management capacity or conducting the affairs of another company, partnership or unincorporated company? _____                         | Y | N |
| 8. Been criticised, censured, disciplined, disqualified, suspended, expelled, fined or been the subject of any other disciplinary or intervention action by any such body? _____   | Y | N |
| 9. Resigned whilst under investigation by, or been required to resign from, any such body? _____   | Y | N |
| 10. Decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by any such body, not to proceed with it? _____                                      | Y | N |
| 11. Been involved in a firm put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors? _____  | Y | N |
| 12. Been involved in a firm adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct? _____   | Y | N |
| 13. Been involved in a firm convicted of any criminal offence, censured, disciplines or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body? _____ | Y | N |
| 14. Are you aware of any business interests, employment obligations, or any other situations that may conflict with this application? _____  | Y | N |
| 15. Has the applicant or any member of the applicant firm been subject to any investigation or censure by any professional, government, trade or regulatory body? If yes, please provide full details. _____                     | Y | N |

Please attach a copy/proof of Professional Indemnity Insurance Coverage. .... Attached

Is there any other information about you that the APCC should be aware of in considering this application (e.g. any complaints or disputes or other items having a reputational impact)?

## SECTION 7: Membership Fee

			Application fee (non-refundable):	£ 65.00
<b>Price per Consultant</b>	Number of consultants	Fee excluding VAT £	Membership fee:	£
	1	196.00		
	2 - 3	392.00		
	4 - 5	588.00		
	6 - 8	812.00		
	9 - 10	1008.00		
	11 - 15	1355.20		
	16 - 20	1575.00		
21 +	1800.00			
If paying by BACS our account details are: Account name: APCC Sort code: 40-43-23 Account number: 81360590 Cheques should be enclosed and made payable to the APCC.			FEE PAYABLE (excl VAT):	£
			VAT (at 20%):	£
			<b>TOTAL FEE PAYABLE:</b>	<b>£</b>

## SECTION 8: Declaration (see Addendum 2)

We, the undersigned, apply for corporate membership of the Association of Professional Compliance Consultants on behalf of the proposed member firm: \_\_\_\_\_ (Legal name of firm)

We declare that we have read and agree to comply with the Memorandum and Articles of the Association and that the firm is eligible for membership. We agree to observe the Memorandum and Articles, the Code of Ethics and Professional Conduct, the Grievance Procedure and the Association's Professional Standards as adopted from time to time by the Association.

Signature (on behalf of firm named above):

Signature (on behalf of firm named above):

Print Name:

Print Name:

Position:

Position:

Date:

Date:

## Next Steps

Upon receipt of a completed application form, an APCC acknowledgment will be issued.

Once the references have been checked and all other information and documentation is satisfactory the existing membership will be notified of your membership application and asked to support the application. Confirmation of membership will be notified to you following this.

**Please note you are not authorised to use the APCC logo UNTIL your application has been accepted and you are onboarded as a member firm.**

Please email the completed form along with all CVs and payment to: [membership@apcc.org.uk](mailto:membership@apcc.org.uk)

## Addendum

1. The Association of Professional Compliance Consultants ("the APCC") is a company limited by guarantee. Membership of the APCC is open to any firm (which may include limited companies, partnerships and sole traders) which provides compliance consultancy services to organisations regulated by the Financial Conduct Authority and/or Prudential Regulation Authority and either has, or intends to have, more than one client at a time.

A Compliance Consultant is defined as an employee or contractor whose services are charged to your clients, either directly or indirectly for the provision of compliance support or consulting.

2. In applying for membership a firm or organisation agrees to abide by the following as adopted by the APCC (and available at [www.apcc.org.uk/](http://www.apcc.org.uk/)):

(a) the Memorandum and Articles of Association

(b) the Code of Ethics and Professional Conduct

(c) the Grievance Procedure

(d) the Professional Standards of the Association as adopted from time to time

In order to comply with the APCC Professional Standards, we would specifically expect a firm to have in place the following:

(a) skills and experience matrix (or equivalent document) for both in-house and external consultants

(b) policies and procedures including, but not limited to, data security, business continuity, complaints handling, recruitment and development of consultants, market abuse policy (where the firm deals with clients who deal in market securities) and information security

(c) terms of engagement for all clients

(d) robust client administration procedures

(e) procedures for dealing with failing clients

